



PATENT #4

IN THE UNITED STATES PATENT AND TRADEMARK OFFICE

In re Application of:

Robert K. Rowe et al.

Serial No.: 09/415,594

Examiner: Unknown

Filed: October 8, 1999

Group Art Unit: 3736

For: APPARATUS AND METHOD FOR IDENTIFICATION OF INDIVIDUALS
BY NEAR-INFRARED SPECTRUM

Docket No.: 1023.1110101

INFORMATION DISCLOSURE STATEMENT

CERTIFICATE UNDER 37 C.F.R. 1.8: I hereby certify that this correspondence is being deposited with the United States Postal Service on the date shown below with sufficient postage as first class mail in an envelope addressed to the Assistant Commissioner for Patents, Washington, D.C. 20231, on this 17th day of January, 2000.

By David M. Crompton
David M. Crompton

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Dear Sir:

Pursuant to the obligations of candor and good faith imposed by 37 C.F.R. 1.56, the documents listed on the attached PTO-1449 are hereby disclosed.

No representation is intended to be made hereby that any of the cited references establishes, by itself or in combination with other information, a prima facie case of unpatentability of any claim of the present case.

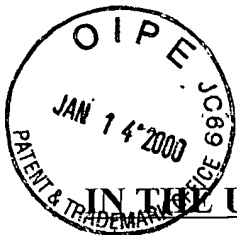
Respectfully submitted,

Robert K. Rowe et al.

By their attorney,

David M. Crompton
David M. Crompton, Reg. No. 36,772
CROMPTON, SEAGER & TUFTE, LLC
331 Second Avenue South, Suite 895
Minneapolis, MN 55401-2246
Telephone: (612) 677-9050
Facsimile: (612) 359-9349

Dated: 1/11/00



Handwritten: 1-14-00

Handwritten: GP-3736

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TRANSMITTAL SHEET

Assistant Commissioner for Patents
Washington, D.C. 20231

Sir:

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JAN 18 2000
TC 3700 MAIL ROOM

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By David M. Crompton
David M. Crompton

We are transmitting herewith the attached:

☐ Amendment

☐ No additional fee required

☐ The fee has been calculated as shown:

CLAIMS AS AMENDED							
	(3)	(4)	(5)	SMALL ENTITY		OTHER	
	REMAINING CLAIMS	HIGHEST PAID	EXTRA	RATE	ADD'L FEE	RATE	ADD'L FEE
TOTAL CLAIMS	-	=		X9=	\$	X18=	\$
INDEPENDENT CLAIMS	-	=		X39=	\$	X78=	\$
() FIRST MULTIPLE DEPENDENT CLAIM				+130=	\$	+260=	\$
TOTAL				\$		\$	

- [] A check in the amount of \$_____ is enclosed.
- [] Small entity status of this application under 37 C.F.R. 1.9 and 1.27 has been established by verified statement previously submitted.
- [XX] Other: INFORMATION DISCLOSURE STATEMENT, FORM PTO-1449, AND CITED REFERENCES.
- [XXXX] Please charge any deficiencies or credit any overpayment in the enclosed fees to Deposit Account No. 50-0413.

By: _____

David M. Crompton

Reg. No. 36,772

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